



SECURITIES BRANCH MANAGER

Your Plain-Language Guide to Business-Building, Training, Administration & IIROC/MFDA/CSRA Compliance

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COMPLIANCE

Critical changes are on the way for the Client Relationship Model

This article will help you prepare to comply with revisions to the Client Relationship Model for both MFDA and IIROC-regulated firms.

... COMPLIANCE WILL BE A CHALLENGE ...

Changes are coming to the Client Relationship Model for Canada's investment industry.

Compliance obligations of Dealer Members continue to evolve as self-regulatory organizations – the Mutual Fund Dealers Association of Canada (MFDA) and the Investment Industry Regulatory Organization of Canada (IIROC) – simultaneously work to improve relations between clients and Dealer Members with changes to the Client Relationship Model (CRM).

While the MFDA has jumped ahead of IIROC, finalizing its amendments in the beginning of December, both organizations share transparency and

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SUPERVISION

Get those accounts reassigned promptly when advisors leave

This is the first in a three-part series on branch supervision. In this article you will learn how to get accounts reassigned when advisors depart and how to avoid an excess of house accounts.

You shouldn't wait too long to reassign accounts when investment advisors leave your branch. And you should assign them to other investment advisors, rather than letting them linger as house-coded accounts. As well, the new registrant on

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